

Form PTO-1449
U.S. DEPARTMENT OF
COMMERCE PATENT AND TRADEMARK
OFFICE

ATTY. DOCKET NO.
02,647-644

SERIAL NO.
09/981,564

APPLICANT:
Wasserman

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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October 17, 2001

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|---------------------|---------------|----------|-------------------|----------------|----------------|----------------|
| <i>DM</i> | 5 8 2 5 6 7 2 | 10/20/98 | Brudnoy | 364 | 574 | 10/25/96 |
| <i>DM</i> | 5 9 2 4 9 8 0 | 07/20/99 | Coetzee | 600 | 300 | 03/11/98 |
| <i>DM</i> | 5 9 9 5 8 5 9 | 11/30/99 | Takahashi | 600 | 323 | 11/26/97 |
| <i>DM</i> | 6 0 8 3 1 7 2 | 07/04/00 | Baker, Jr. et al. | 600 | 500 | 08/20/98 |
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| <i>DM</i> WO | 0 0 1 3 1 7 2 | 03/09/00 | Hoek | | | |
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OTHER DOCUMENTS (Incl. Author, Title, Date, Pertinent Pages, etc.)

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Examiner *David McBrook* Date Considered *5/3/03*

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Sheet 1 of 6Form PTO-1449
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| DM | 3 | 6 | 3 | 8 | 6 | 4 | 0 | 02/01/72 | Shaw | 128 | 2 | 11/01/67 |
| DM | 3 | 7 | 9 | 9 | 6 | 7 | 2 | 03/26/74 | Vurek | 356 | 41 | 09/15/72 |
| DM | 3 | 8 | 4 | 7 | 4 | 8 | 3 | 11/12/74 | Shaw | 356 | 41 | 09/24/73 |
| DM | 3 | 9 | 9 | 8 | 5 | 5 | 0 | 12/21/76 | Konishi, et al. | 356 | 39 | 10/10/75 |
| DM | 4 | 0 | 8 | 6 | 9 | 1 | 5 | 05/02/78 | Kofsky, et al. | 128 | 2 | 05/24/76 |
| DM | 4 | 1 | 6 | 7 | 3 | 3 | 1 | 09/11/79 | Nielsen | 356 | 39 | 12/20/76 |
| DM | 4 | 2 | 6 | 6 | 5 | 5 | 4 | 05/12/81 | Hamaguri | 128 | 633 | 06/19/79 |
| DM | 4 | 3 | 5 | 7 | 1 | 0 | 5 | 11/02/82 | Loretz | 356 | 40 | 08/06/80 |
| DM | 4 | 4 | 0 | 7 | 2 | 9 | 0 | 10/04/83 | Wilber | 128 | 633 | 04/01/81 |
| DM | 4 | 4 | 4 | 6 | 8 | 7 | 1 | 05/08/84 | Imura | 128 | 633 | 12/15/80 |
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| DM WO | 9 | 4 | 0 | 3 | 1 | 0 | 2 | 02/17/94 | Parker | | | |
| DM WO | 0 | 1 | 5 | 4 | 5 | 7 | 3 | 08/02/01 | Boas | | | |
| DM WO | 0 | 1 | 8 | 4 | 1 | 0 | 7 | 11/08/01 | Benni | | | |

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APPLICANT:
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| <i>DM</i> | 4 | 7 | 1 | 4 | 3 | 4 | 1 | 12/22/87 | Hamaguri et al. | 356 | 41 | 02/21/85 |
| <i>DM</i> | 4 | 7 | 4 | 0 | 0 | 8 | 0 | 04/26/88 | Donohue, et al. | 356 | 326 | 03/21/85 |
| <i>DM</i> | 4 | 7 | 7 | 3 | 4 | 2 | 2 | 09/27/88 | Isaacson, et al. | 128 | 633 | 04/30/87 |
| <i>DM</i> | 4 | 7 | 9 | 6 | 6 | 3 | 6 | 01/10/89 | Branstetter, et al. | 128 | 633 | 09/10/87 |
| <i>DM</i> | 4 | 8 | 0 | 2 | 4 | 8 | 6 | 02/07/89 | Goodman, et al. | 128 | 633 | 06/07/85 |
| <i>DM</i> | 4 | 8 | 1 | 9 | 6 | 4 | 9 | 04/11/89 | Rogers et al. | 128 | 660.02 | 11/03/86 |
| <i>DM</i> | 4 | 8 | 1 | 9 | 7 | 5 | 2 | 04/11/89 | Zelin | 128 | 633 | 10/02/87 |
| <i>DM</i> | 4 | 8 | 5 | 4 | 6 | 9 | 9 | 08/08/89 | Edgar, Jr. | 356 | 41 | 11/02/87 |
| <i>DM</i> | 4 | 8 | 5 | 9 | 0 | 5 | 7 | 08/22/89 | Taylor et al. | 356 | 41 | 10/13/87 |
| <i>DM</i> | 4 | 8 | 6 | 7 | 5 | 5 | 7 | 09/19/89 | Takatani et al. | 356 | 41 | 04/11/88 |
| <i>DM</i> | 4 | 8 | 9 | 2 | 1 | 0 | 1 | 01/09/90 | Cheung et al. | 128 | 633 | 02/24/89 |
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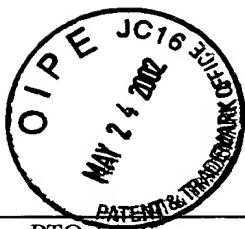
Sheet 3 of 6

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|---|--------------|---------------------------------|---|--|---|---|---|----------|---------------------------|-------|---------------|----------------|
| Form PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTY. DOCKET NO. 02,647-644 | | SERIAL NO. 09/081,564 | | | | | | | | |
| | | APPLICANT: Wasserman et al. | | MAY 29 2002 TECHNOLOGY CENTER R3700 | | | | | | | | |
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| DM | 4 | 9 | 2 | 8 | 6 | 9 | 2 | 05/29/90 | Goodman, et al. | 128 | 633 | 11/23/88 |
| DM | 4 | 9 | 3 | 4 | 3 | 7 | 2 | 06/19/90 | Corenman, et al. | 128 | 633 | 04/05/89 |
| DM | 4 | 9 | 6 | 0 | 1 | 2 | 6 | 10/02/90 | Conlon | 128 | 633 | 10/14/98 |
| DM | 5 | 1 | 9 | 0 | 0 | 3 | 8 | 03/02/93 | Polson, et al. | 128 | 633 | 11/01/89 |
| DM | 5 | 2 | 2 | 4 | 4 | 7 | 8 | 07/06/93 | Sakai et al. | 128 | 633 | 08/25/92 |
| DM | 5 | 3 | 4 | 8 | 0 | 0 | 4 | 09/20/94 | Hollub | 128 | 633 | 03/31/93 |
| DM | 5 | 3 | 4 | 9 | 5 | 1 | 9 | 09/20/94 | Kaestle | 364 | 413.09 | 11/12/93 |
| DM | 5 | 3 | 5 | 5 | 8 | 8 | 0 | 10/18/94 | Thomas, et al. | 128 | 633 | 07/06/92 |
| DM | 5 | 3 | 9 | 8 | 6 | 8 | 0 | 03/21/95 | Polson, et al. | 128 | 633 | 07/08/92 |
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| Examiner | | David M. Gwosdy | | | | | | | Date Considered 5/3/03 | | | |
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| DM | 5 | 8 | 2 | 3 | 9 | 5 | 0 | 10/20/98 | Diab, et al. | 600 | 310 | 11/12/96 |
| DM | 5 | 8 | 4 | 2 | 9 | 8 | 1 | 12/01/98 | Larsen, et al. | 600 | 323 | 07/17/96 |
| DM | 5 | 8 | 5 | 3 | 3 | 6 | 4 | 12/29/98 | Baker Jr., et al. | 600 | 500 | 06/07/96 |
| DM | 5 | 9 | 1 | 9 | 1 | 3 | 4 | 07/06/99 | Diab | 600 | 323 | 01/12/98 |
| DM | 5 | 9 | 9 | 5 | 8 | 5 | 6 | 11/30/99 | Mannheimer, et al. | 600 | 322 | 11/22/95 |
| DM | 6 | 0 | 1 | 1 | 9 | 8 | 6 | 01/04/00 | Diab, et al. | 600 | 323 | 02/02/98 |
| DM | 6 | 0 | 3 | 1 | 6 | 0 | 3 | 02/29/00 | Fine, et al. | 356 | 41 | 06/06/96 |
| DM | 6 | 0 | 3 | 6 | 6 | 4 | 2 | 03/14/00 | Diab, et al. | 600 | 364 | 06/22/98 |
| DM | 6 | 0 | 6 | 7 | 4 | 6 | 2 | 05/23/00 | Diab, et al. | 600 | 310 | 05/19/98 |
| DM | 6 | 0 | 8 | 1 | 7 | 3 | 5 | 06/27/00 | Diab, et al. | 600 | 310 | 07/03/97 |
| DM | 6 | 0 | 8 | 3 | 1 | 7 | 2 | 07/04/00 | Baker, Jr., et al. | 600 | 500 | 08/20/98 |
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| OTHER DOCUMENTS (Incl. Author, Title, Date, Pertinent Pages, etc.) | | | | | | | | | | | | |
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| | APPLICANT: Wasserman et al. | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | FILING DATE October 17, 2001 | GROUP: 3736 |
| | OTHER DOCUMENTS (Incl. Author, Title, Date, Pertinent Pages, etc.) | |
| Dm | <i>"Reflectance Pulse Oximetry at the Forehead of Newborns: The Influence of Varying Pressure on the Probe"; A. Carin M. Dassel, MD, et al.; Dept. of Obstetrics and Gynecology, Univ. Hospital Groningen, Groningen; Journal of Clinical Monitoring 12: Pgs. 421-428, 1996.</i> | |
| Dm | <i>"Reflectance Pulse Oximetry - Principles and Obstetric Application in the Zurich System"; Voker Konig, Renate Huch, and Albert Huch; Perinatal Physiology Research Dept., Dept. of Obstetrics, Zurich Univ. Hospital, CH-8091 Zurich, Switzerland; Journal of Clinical Monitoring and Computing 14: Pgs. 403-412, 1998.</i> | |
| Dm | <i>"Effect of location of the sensor on reflectance pulse oximetry"; A.C. M. Dassel, Research Fellow et al.; British Journal of Obstetrics and Gynecology; August 1997, Vol. 104, pp. 910-916.</i> | |
| Dm | <i>"Design and Evaluation of a New Reflectance Pulse Oximeter Sensor"; Y. Wasserman et al., PhD, et al.; Worcester Polytechnic Institute, Biomedical Engineering Program, Worcester, MA 01609; Association for the Advancement of Medical Instrumentation, Vol. 22, No. 4, 1988; Pgs. 167-173.</i> | |
| Dm | <i>"Skin Reflectance Pulse Oximetry: In Vivo Measurements from the Forearm and Calf"; Y. Wasserman et al., PhD and M.J. McGinn, MSc; Dept. of Biomedical Engineering, Worcester Polytechnic Institute, Worcester, MA 01609; Journal of Clinical Monitoring, Vol. 7, No. 1, 1991; Pgs. 7-12.</i> | |
| Dm | <i>"Experimental and Clinical Evaluation of a Noninvasive Reflectance Pulse Oximeter Sensor"; Setsuo Takatani, PhD, et al.; Dept. of Surgery, Baylor College of Medicine, One Baylor Plaza, Houston, TX 77030; Journal of Clinical Monitoring, Vol. 8, No. 4, October 1992; Pgs. 257-266.</i> | |
| Dm | <i>"Wavelength Selection for Low-Saturation Pulse Oximetry"; Paul D. Mannheimer, et al.; IEEE Transactions on Biomedical Engineering, Vol. 44, No. 3, March 1997; Pgs. 148-158.</i> | |
| Dm | <i>"Noninvasive Pulse Oximetry Utilizing Skin Reflectance Photoplethysmography"; Yitzhak Wasserman et al. and Burt D. Ochs; IEEE Transactions on Biomedical Engineering, Vol. 35, No. 10, October 1988; Pgs. 798-805.</i> | |
| Dm | <i>"Physio-optical considerations in the design of fetal pulse oximetry sensors"; P.D. Mannheimer, M.E. Fein and J.R. Casciani; European Journal of Obstetrics & Gynecology and Reproductive Biology 72 Suppl. 1 (1997) S9-S19.</i> | |
| Dm | <i>"Fetal pulse oximetry: influence of tissue blood content and hemoglobin concentration in a new in-vitro model"; Thomas Edrich, Gerhard Rall, Reinhold Knitza; European Journal of Obstetrics & Gynecology and Reproductive Biology 72 Suppl. 1 (1997) S29-S34..</i> | |
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